

## NSLS EMS/OHSAS Records Management- Appendix A - Records Guide

- [NSLS EMS Records](#)
- [NSLS OHSAS Records](#)
- [NSLS Common EMS/OHSAS Records](#)
- [BNL Site Level OHSAS Records](#)

Back to [NSLS EMS/OHSAS Records Management procedure](#)

NSLS EMS RECORDS				
Topic/Series Title	Record/File Plan Description	Foremost Address	Retention Period (From BNL site specific plan)	Location/Inventory Responsibility/Records System
90 Day Accumulation Area Weekly Inspection Checklist	Departmental Hazardous Waste Management Inspection Form covering 90 day accumulation areas & pertains to environmental, safety, health & quality issues. The form is available on SBMS. It states the dates, area location, condition & problems.	B ENV/2000-02-03	ENV-2.A.1.C - Destroy 3 years after date of inspection.	Location: <b>Rm. 1-178</b>  Responsible: <b>J. Aloï</b>  Records System: BNL Records Management System
Committee Reviews (ESH etc.)/Project Case Files - Environmental	This series contains Project case files, maintained as a collection throughout the project life cycle, which documents the activities of the project from initiation through completion.	B ENV/2000-01-13	ENV-1.K.2.B - Destroy 25 years after project completion	Location: <b>Master File Room 2 (2-146) – (Central Holding)</b>  Responsible: <b>M. Buckley</b>  Records System: Submit record to <a href="#">QCC</a> - QA General Review Form System
EMS Audits and Assessments/ Environmental, Safety & Health (ESH) Investigations	ESH Investigative case files & reports. Investigations may be described as audits, appraisals, inspections & management reviews. Documents include, but not limited to, conformance & final reports, correspondence, notes, attachments & log books.	A ADM/1000-20-08	ADM-22.4 - Cut off upon completion of audit or investigation. Destroy when 75 years old.	Location: <b>Master File Room 2 (2-146) – (Central Holding)</b>  Responsible: <b>M. Buckley</b>  Records System: Submit record to <a href="#">QCC</a> via Records Submission Form - NSLS EMS/OHSAS Records System

## NSLS EMS RECORDS

Topic/Series Title	Record/File Plan Description	Foremost Address	Retention Period (From BNL site specific plan)	Location/Inventory Responsibility/Records System
Environmental program support documents  (Refer to the <a href="#">NSLS EMS Records Submission form</a> for a complete listing of record descriptions for this category)	Consists of the ISO 14001/Environmental Management System (EMS) support documentation. It includes departmental EMS Program description; and internal communications. May also include other related documentation.	B ENV/2000-01-14	ENV-1.K.1 - Cut off annually. Destroy 25 years after cutoff.	Location: Master File Room 2 (2-146) – <b>(Central Holding)</b>  Responsible: <b>M. Buckley</b>  Records System: Submit record to <a href="#">QCC</a> via Records Submission Form - NSLS EMS/OHSAS Records System
Environmental Program Support documents  <a href="#">Includes - NSLS Environmental Management System Manual</a>  (Controlled Document)	Consists of the ISO 14001/Environmental Management System (EMS) support documentation. It includes departmental EMS Program description; and internal communications. May also include other related documentation.	B ENV/2000-01-14	ENV-1.K.1 - Cut off annually. Destroy 25 years after cutoff.	Location: Master File Room 2 (Rm. 2-146) – <b>(Central Holding)</b>  Responsible: <b>M. Buckley</b>  Records System: Submit record to <a href="#">QCC</a> - NSLS Controlled Document System
Environmental, Safety & Health (ESH) Investigations  (Internal Audits related to EMS)	ESH Investigative case files & reports. Investigations may be described as audits, appraisals, inspections & management reviews. Documents include, but not limited to, conformance & final reports, correspondence, notes, attachments & log books.	A ADM/1000-20-08	ADM-22.4 - Cut off upon completion of audit or investigation. Destroy when 75 years old.	Location: Lab Level Document  Responsible: <b>SME</b>  Records System: SME specific
Environmental Monitoring Reports  <a href="#">Monitoring and measurement (new)</a>	This series consists of environmental monitoring reports used to identify the progress on the environmental monitoring plans at Brookhaven National Laboratory (BNL). It may include environmental monitoring data for contaminants such as; dust, lead, metal fumes, chemical and noise dosimetry. This series is used for operational purposes and kept for reference.	B ENV/2001-01-08	ENV-1.D.8.A - Destroy when 75 years old. Cut off when reports are superseded, obsolete, or cancelled.	Location: Master File Room 2 (Rm. 2-146) – <b>(Central Holding)</b> and/or BNL Environmental Services Division (Maintained at BNL ESD).  Responsible: <b>M. Buckley</b>  Records System: Submit record to <a href="#">QCC</a> via Records Submission Form - NSLS EMS/OHSAS Records System

NSLS EMS RECORDS				
Topic/Series Title	Record/File Plan Description	Foremost Address	Retention Period (From BNL site specific plan)	Location/Inventory Responsibility/Records System
Process Evaluations  Environmental Program Support Records	Consists of the ISO 14001/Environmental Management System (EMS) support documentation. It includes departmental EMS Program description; and internal communications. May also include other related documentation.	B ENV/2000-01-14	ENV-1.K.1 - Cut off annually. Destroy 25 years after cutoff.	Location: BNL Environmental Services Division (ESD)  Responsible: <b>Environmental Compliance Representative (ECR)</b>  Records System: BNL Records Management System
Bulk Material Storage Facility Checklist	Checklist for inspections of bulk material storage areas in regard to environmental issue compliance per Suffolk County article 12.	B ENV/2000-02-28	ENV-2.A.1.C - Destroy 3 years after date of inspection.	Location: <b>SDL</b> – Bldg. 729  Responsible: <b>B. Singh</b>  Records System: BNL Records Management System

NSLS OHSAS RECORDS				
Topic/Series Title	Record/File Plan Description	Foremost Address	Retention Period (From BNL site specific plan)	Location/Inventory Responsibility
<b>Occupational Health &amp; Safety (OHSAS 18001) Management System Description (Manual)</b>  (Controlled Document)	The written OSH program of an organization.	A ADM/1000-15-37	ADM-16.1.1 Permanent	Location: Master File Room 2 (Rm. 2-146) – <b>(Central Holding)</b>  Responsible: <b>M. Buckley</b>  Records System: Submit record to <b>QCC</b> - NSLS Controlled Document System
<b>Occupational Health &amp; Safety (OHSAS 18001) Management Plans</b>  (Controlled Document)	Annual list of targets & objectives and performance indicators for the improvement of the OSH program of an organization.	A ADM/1000-17-06	ADM-16.1.2 - Cut off at the end of each fiscal year. Destroy 5 years after cutoff.	Location: Master File Room 2 (Rm. 2-146) – <b>(Central Holding)</b>  Responsible: <b>M. Buckley</b>  Records System: Submit record to <b>QCC</b> - NSLS Controlled Document System

## NSLS OHSAS RECORDS

Topic/Series Title	Record/File Plan Description	Foremost Address	Retention Period (From BNL site specific plan)	Location/Inventory Responsibility
<b>OSH 18001 Support and Risk Assessments Files</b>  (Addresses both general records & Controlled Document. JRAs & FRAs are controlled documents)	Records verifying organizational compliance with the OSH 18001 program. <b>Central file for</b> task lists and <b>JRA/ FRA risk assessments</b>	A\ADM\1000-17-16	ADM-16.1.2 - Cut off at the end of each fiscal year. Destroy 5 years after cutoff.	<b>General Records:</b> Location: Master File Room 2 (Rm. 2-146) – <b>(Central Holding)</b> Responsible: <b>M. Buckley</b> Records System: Submit record to <a href="#">QCC</a> via Records Submission Form - NSLS EMS/OHSAS Records System  <b>JRAs &amp; FRAs:</b> Location: Master File Room 2 (Rm. 2-146) – <b>(Central Holding)</b> Responsible: <b>M. Buckley</b> Records System: Submit record to <a href="#">QCC</a> - NSLS Controlled Document System
<b>OSH Internal Assessments/ Audits</b>	Self Assessment Plan, Internal Assessment Results of an organization.	A\ADM\1000-20-03	ADM-22.1.A.2 Destroy after 10 years	Location: Master File Room 2 (Rm. 2-146) – <b>(Central Holding)</b> Responsible: <b>M. Buckley</b> Records System: Submit record to <a href="#">QCC</a> via Records Submission Form - NSLS EMS/OHSAS Records System
<b>WOSH Committee Records</b>	Agenda, minutes, attendance, presentations, etc.) for the Safety & Health committee with worker representation of an organization.	A\ADM\1000-15-21	ADM-16.8.B.1 3 years	Location: Master File Room 2 (Rm. 2-146) – <b>(Central Holding)</b> Responsible: <b>M. Buckley</b> Records System: Submit record to <a href="#">QCC</a> - QA General Review Form System

NSLS OHSAS RECORDS				
Topic/Series Title	Record/File Plan Description	Foremost Address	Retention Period (From BNL site specific plan)	Location/Inventory Responsibility
<b>Non Radiological Permits</b>	Safe work permits granting approval for employees to work on a potentially hazardous job or area. Includes confined space, working on or near energized equipment, digging, cutting/welding and penetration permits. Permits contain job descriptions, instructions to workers & approval signature of responsible supervision.	A ADM/1000-17-35	ADM-18.37 - Destroy 75 years after the date of the permit	<b>Beamline and Accelerator Work Authorizations:</b>  Location: <a href="#">NSLS Control Room</a>  Responsible: <b>R. Church</b>  Records System: <a href="#">BNL Records Management System</a>
<b>Occurrence Reports</b> that are OSH related	Reports documenting specific occurrences in the organization, which violate or pose a threat to quality, safety & operations. These files are for Investigative incidents and Critiques not maintained in the DOE Occurrence Reporting System.	A ADM/1000-17-10	ADM-18.11.1.B - EPI - Cut off at the end of the fiscal year in which the case was closed. Destroy 15 years after cutoff.	Location: <a href="#">Master File Room 2 (Rm. 2-146) – (Central Holding)</a> or <a href="#">BNL ATS</a>  Responsible: <b>M. Buckley</b>  Records System: Submit record to <a href="#">QCC</a> via Records Submission Form - <a href="#">NSLS EMS/OHSAS Records System</a>
<b>Operating Manuals</b> that are OSH related  (Controlled Document)	Operating Manuals for OSH meters identified in operational control documents such as JRA, FRA, SOP, ESR, Work Permits, etc.	A ADM/1000-17-36	ADM-17.32A- Retain until item removed from service	<b>Manuals developed by NSLS:</b>  Location: <a href="#">Master File Room 2 (Rm. 2-146) – (Central Holding)</a>  Responsible: <b>M. Buckley</b>  Records System: Submit record to <a href="#">QCC</a> - <a href="#">NSLS Controlled Document System</a>  <b>Commercial Manuals:</b>  Location: <a href="#">Equipment location</a>  Responsible: <b>Equipment Owner</b>  Records System: <a href="#">BNL Records Management System</a>

NSLS OHSAS RECORDS				
Topic/Series Title	Record/File Plan Description	Foremost Address	Retention Period (From BNL site specific plan)	Location/Inventory Responsibility
<b>Equipment Records</b> for OSH meters	Control and Calibration records of Measuring/Test Equipment used in hazard assessments	ENV/2000-04-03	ADM-1.21.2D Destroy 5 years after calibration.	<b>Radiological Equipment:</b> Location: <a href="#">BNL Instrumentation and Calibration group</a> - Bldg. 348 Responsible: <b>Facility Support</b> Records System: <a href="#">BNL Records Management System</a> <b>ODH:</b> Location: <a href="#">Design Room</a> (Rm. 2-156) Responsible: <b>M. Buckley</b> Records System: <a href="#">Submit record to OCC</a> - NSLS Calibration System

## NSLS EMS/OHSAS COMMON RECORDS

Topic/Series Title	Record/File Plan Description	Foremost Address	Retention Period (From BNL site specific plan)	Location/Inventory Responsibility/Records System
Design reviews/Quality Assurance Records	Contains Quality Assurance records prepared received and maintained in conjunction with the design, manufacture, construction, installation, test, and operation of equipment, structures, plants and systems. It maintains standard for reworking, repairing, replacing or modifying items.	A ADM/1000-15-39	ADM-17.32.A - Retain until item is removed from service.	Location: Master File Room 1 (2-152) – <b>(Central Holding)</b>  Responsible: <b>M. Buckley</b>  Records System: Submit record to <a href="#">QCC</a> - QA/Engineering Documentation System
<b>Emergency Contingency Plans</b>  (Controlled Document)	Plans posted at the 90-day areas. Consists of the emergency response plans, which identify environmental and safety hazards at a facility and surrounding areas. The plan lists phone location, name of contact, and diagram of pertinent area.	B ENV/2000-01-02	ENV-1.B.1 - destroy 3 years after issuance of a new plan	Location: Master File Room 2 (Rm. 2-146) – <b>(Central Holding)</b>  Responsible: <b>M. Buckley</b>  Records System: Submit record to <a href="#">QCC</a> - NSLS Controlled Document System
ESH Improvement Plan	Contains NSLS ESH Improvement Plans that support the NSLS Self-Assessment Plan.	B ENV/2000-01-14	ENV-1.K.1 - Cut off annually. Destroy 25 years after cutoff.	Location: Master File Room 2 (Rm. 2-146) – <b>(Central Holding)</b>  Responsible: <b>M. Buckley</b>  Records System: Submit record to <a href="#">QCC</a> via Records Submission Form - NSLS EMS/OHSAS Records System
Experimental Safety Review	Contains safety review documentation which demonstrate that control systems, utilized in operations, have the capability for safe use. Items used includes sites, facilities, structures, plants, materials, spent fuel, waste, machinery and equipment.	A ADM/1000-17-27	ADM-18.35.B - EPI-- Destroy 5 years after the date of completion of either a task or performance of an activity or action for which the documentation will have no future applicability for demonstrating an item's capability for safe operation.	<b>Safety Approval Form (a component of the PASS database)</b>  Location: SAF - Room 2-100  Responsible: <b>M.A. Corwin</b>  Records System: BNL Records Management System

## NSLS EMS/OHSAS COMMON RECORDS

Topic/Series Title	Record/File Plan Description	Foremost Address	Retention Period (From BNL site specific plan)	Location/Inventory Responsibility/Records System
				<b>Extended Experimental Reviews</b> Location: Master File Room 2 (2-146) – <b>(Central Holding)</b> Responsible: <b>M. Buckley</b> Records System: Submit record to <a href="#">QCC</a> - QA General Review Form System
<b>Experimental Safety</b>  <b>Reviews for Science &amp; technology Machines in NSLS and CAD</b>	Contains high level safety review documentation, which demonstrates that control systems, utilized in operations, have the capability for safe use.	A ADM/1000-17-27	ADM-18.35.B - EPI-- Destroy 5 years after the date of completion of either a task or performance of an activity or action for which the documentation will have no future applicability for demonstrating an item's capability for safe operation.	<a href="#">NA - Refer to Experimental Safety Review Requirements above</a>
<b>Experimental Safety</b>  <b>Reviews for non-S&amp;T level experiments</b>	Contains safety review documentation, which demonstrates that control systems, utilized in operations, have the capability for safe use. Items used include sites, facilities, structures, plants, materials, spent fuel, waste, machinery and equipment.	A ADM/1000-17-28	ADM-18.37 - Destroy 75 years after the date of the permit.	<a href="#">NA - Refer to Experimental Safety Review Requirements above</a>
Facility training documentation	Records for environmental safety & health training such as manuals, syllabuses, and other training aids; description of course content; examination documentation, attendance rosters; documentation of required performance, & lesson plans.	A ADM/1000-01-22	ADM-1.29.2.A.2 - Transfer to a federal records center after last session. Destroy 75 years after transfer.	<b>EMS Training Documentation - Master Copy:</b> Location: Master File Room 2 (2-146) – <b>(Central Holding)</b> Responsible: <b>M. Buckley</b> Records System: Submit record to <a href="#">QCC</a> via Records Submission Form - NSLS EMS/OHSAS Records System



## NSLS EMS/OHSAS COMMON RECORDS

Topic/Series Title	Record/File Plan Description	Foremost Address	Retention Period (From BNL site specific plan)	Location/Inventory Responsibility/Records System
				<b>All other NSLS Training Documentation (e.g. OHSAS 18001, EMS, etc.):</b>  Location: BTMS database and/or Rm. 2-100  Responsible: <b>M.A. Corwin</b>  Records System: BNL Records Management System
Training - Individual Employee Records	This series contains attendance/completion records of training courses or sessions applicable to the employee's job or position, qualification or certification results, new employee indoctrination/orientation checklists and other pertinent documentation.	A\ADM/1000-01-18	ADM-1.29.1.A.1 - Cut off at time of separation or transfer of employee. Screen out and destroy all item ADM-1.29.1.A.4 records (medical examination results). Transfer folders with remaining documents to the local federal record center. Destroy 75 years after cutoff.	Location: BTMS database or Rm. 2-100  Responsible: <b>M.A. Corwin</b>  Records System: BNL Records Management System
NSLS Training Plan  Training - Quality Related  (Controlled Document)	This series consist of the training plans and materials used for quality related instruction or information sharing; attendance sheets; and job training analysis.	A\ADM/1000-01-21	ADM-1.29.2.A.2 - Transfer to a federal records center after last session. Destroy 75 years after transfer.	Location: Master File Room 2 (Rm. 2-146) – <b>(Central Holding)</b>  Responsible: <b>M. Buckley</b>  Records System: Submit record to <a href="#">QCC</a> - NSLS Controlled Document System
<b>Occurrence Reports</b> that are OSH related	Reports documenting specific occurrences in the organization, which violate or pose a threat to quality, safety & operations. These files are for Investigative incidents and Critiques not maintained in the DOE Occurrence Reporting System.	A\ADM/1000-17-10	ADM-18.11.1.B - EPI - Cut off at the end of the fiscal year in which the case was closed. Destroy 15 years after cutoff.	Location: Master File Room 2 (Rm. 2-146) – <b>(Central Holding)</b> or BNL ATS  Responsible: <b>M. Buckley</b>  Records System: Submit record to <a href="#">QCC</a> via Records Submission Form - NSLS EMS/OHSAS Records System

## NSLS EMS/OHSAS COMMON RECORDS

Topic/Series Title	Record/File Plan Description	Foremost Address	Retention Period (From BNL site specific plan)	Location/Inventory Responsibility/Records System
Individual R2A2s	This series consists of the signed record copy of position descriptions that include information on title, series, grade, duties, and responsibilities and related information for each employee of BNL.	A ADM/1000-01-02	ADM-1.7.B - Destroy 75 years after position is abolished or description is superseded.	Location: Rm. 2-127, Chairman's office Responsible: <b>Dept. Chair Assistant</b> Records System: BNL Records Management System
NSLS Controlled Documents  <a href="#">Quality Baseline Documents</a>  (e.g. Includes - NSLS Environmental Management System Manual, NSLS Policies and Requirements Manual, Operations Chemical Spill Response procedure, Preparation of Controlled Documents, etc.)  <a href="#">(Controlled Document)</a>	Consists Quality Program Documentation; which includes status, progress, reports; formal assessments conducted by the department's quality representative; surveillance; external assessments; policy, program, plans, reviews and comment resolution.	A ADM/1000-15-06	ADM-16.1.4.A - Cut off at the end of each fiscal year. Destroy 10 years after cutoff.	Location: Master File Room 2 (Rm. 2-146) – <b>(Central Holding)</b>  Responsible: <b>M. Buckley</b>  Records System: Submit record to <a href="#">QCC</a> - NSLS Controlled Document System
Self-assessments	Official copy of self-assessments, which includes, routine and significant internal program investigations. Files include the assessment schedule, criteria for self evaluation, corrective action records and plans, lessons learned , reviews, comments and log books. It also contains business overviews, management reviews , environmental compliance self-assessments, and other related correspondence, such as notes, attachments and working papers.	A ADM/1000-20-04	ADM-22.2.B.1 - Cut off upon completion of audit or investigation. Destroy when 10 years old.	Location: Master File Room 2 (Rm. 2-146) – <b>(Central Holding)</b>  Responsible: M. Buckley  Records System: Submit record to <a href="#">QCC</a> via Records Submission Form - NSLS EMS/OHSAS Records System

## NSLS EMS/OHSAS COMMON RECORDS

Topic/Series Title	Record/File Plan Description	Foremost Address	Retention Period (From BNL site specific plan)	Location/Inventory Responsibility/Records System
Nonconformance Reports  R&D Quality Assurance Records - Level II	Documentation of quality assurance plans, related reports of QA audits, project assessments, nonconformance & corrective action reports, deficiency reports, & certificates of conformance.	C R&D/3000-02-16	R&D-1.B.4.B - Cutoff after project/program completion, cancellation or termination, or in 5 year blocks. Retire to FRC 2 years after termination of project/program. Destroy 25 years after termination of project/program	Location: Master File Room 2 (Rm. 2-146) – <b>(Central Holding)</b>  Responsible: <b>M. Buckley</b>  Records System: Submit record to <a href="#">QCC</a> - QA/Engineering Documentation System
<b>Local Emergency Planning</b> documents  (Controlled Document)	Contains Local Emergency Response Plan generated for each building at BNL. It may contain the original plan, procedures for an emergency situation, locations of emergency shut offs, building floor plans, in/out door assembly areas and evacuation zone.	A ADM/1000-17-23	ADM-18.27 - Destroy 3 years after issuance of a new plan or directive.	Location: Master File Room 2 (Rm. 2-146) – <b>(Central Holding)</b>  Responsible: <b>M. Buckley</b>  Records System: Submit record to <a href="#">QCC</a> - NSLS Controlled Document System
<b>EMS/OSH Management Reviews and EMS/OSH Records of Decision Documents</b>	Documentation of presentations to senior management on the actions and status of the organizations OSH program.	A ADM/1000-17-16	ADM-16.1.2 - Cut off at the end of each fiscal year. Destroy 5 years after cutoff.	Location: Master File Room 2 (Rm. 2-146) – <b>(Central Holding)</b>  Responsible: <b>M. Buckley</b>  Records System: Submit record to <a href="#">QCC</a> via Records Submission Form - NSLS EMS/OHSAS Records System
<b>Safety Assessment Documents &amp; Safety Analysis Reports</b>  (Controlled Document)	Documentation of safety analysis reports relating to facilities. Records relating to health, safety & environmental issues. Records should include related DOE Safety Evaluation Report.	B ENV/2000-01-04	ENV-1.B.4.B - Review annually. Cutoff when superseded, obsolete, or cancelled. Destroy 25 years after cutoff	Location: Master File Room 2 (Rm. 2-146) – <b>(Central Holding)</b>  Responsible: <b>M. Buckley</b>  Records System: Submit record to <a href="#">QCC</a> - NSLS Controlled Document System
<b>Tier 1 Facility Safety Inspections</b>	Records of routine safety inspections.	A ADM-1000-17-37.	ADM-18.9 - Cut off at the end of the fiscal year. Destroy 75 years after discontinuation of the facility.	Location: Rm. 1-177  Responsible: <b>B. Chmiel</b>  Records System: BNL Records Management System

NSLS EMS/OHSAS COMMON RECORDS				
Topic/Series Title	Record/File Plan Description	Foremost Address	Retention Period (From BNL site specific plan)	Location/Inventory Responsibility/Records System
<b>Work Planning and Control Documentation- (Work Permits)</b>	Consists of work planning & control documentation. It includes the original, signed work permit, the job tracking log & the control procedures.	A ADM/1000-17-28	ADM-18.37 - Destroy 75 years after the date of the permit.	Location: <a href="#">Rm. 2-169</a> Responsible: <a href="#">A. Boerner</a> Records System: <a href="#">BNL Records Management System</a>

Rev. F, 10/27/05 Appendix A - LS-QAP-1003